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QUESTION

"1. PURPOSE OF THE ORGANIZATION - A GENERAL STATEMENT OF ITS MISSION."

COMMENT

- I. The Security Records Division (SRD) is one of two Divisions under the Deputy Director for Investigations and Operational Support (DD/IOS) in the Office of Security. The DD/IOS has issued a statement of the Division's Mission and Functions. (TAB A)
- II. However, the above-mentioned statement is necessarily general and broad in scope. Several functions detailed in it are comparatively inactive, while much time-consuming work in SRD is not indicated at all. Therefore, during the "Analysis Phase" of our Survey I abbreviated the statement to its bare essentials. I also drafted another paper on SRD operations noted during the Survey. These workpapers are attached for your convenience. (TABS B AND C).
- III. The first three functions detailed in Agency Regulation HW also influence the SRD activities. (TAB D). Several Agency Regulations have a direct and indirect bearing on the functions of SRD. Also two "Instructions" published by DDP and six by the Director of Security specifically prescribe procedures influencing SRD activities. Some of the several regulatory issuances studied for the Survey are listed for your convenience. (TABS E, F, AND G).

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SECURITY RECORDS DIVISION

A. MISSION:

Provides current and long-range operating support for the mission of the Office of Security by the effective development, management, utilization and protection of Security Records and by the provision of records research and analysis services.

B. FUNCTIONS:

1. Initiates investigations and Security actions on all clearances; performs the investigative functions of compiling biographic data, searching indices, operation of the central indices, operation of the investigative communications between Headquarters and keeps current on and works with appropriate sources in the field of up-to-date machine filing methods and research for improved operations; responsible for operating procedures to insure maximum utilization of Security information and at the same time insuring careful protection of all Security information including covert sources and identities.

2. Provides, operates, maintains, and continually expands the only repository in the Agency for complete files with true identities on all persons used in whatever manner by the Agency currently or in the past; under the direction of the Director of Security, recommends and implements policies for the control of various categories of sensitivity of information in the Office of Security. Performs similar activities for the control of Top Secret material within the Office of Security. Operates the Office of Security Reference Library.

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3. Through the use of trained professional investigators experienced in investigative activity, provides allied intelligence functions incident to investigations by assuring full exploitation of the files through (a) the knowledgeable searching for and compilation of all allied materials which might be pertinent to cases for investigation, for final approval, or for Counter Intelligence studies, and assuring that Security and investigative information is made available to other components of the Office of Security in Headquarters as well [redacted] continuous alert analysis of Security and investigative information to detect and monitor trends and patterns inimical to the interests of the Agency and the United States and report such to appropriate officials.

4. Provides operating officials of the Office of Security with current items of Security and intelligence significance through the daily review of information from Intelligence Information Reports, from all applicable releases, and from appropriate newspapers, magazines, periodicals, or articles which are of Security significance as affecting activities of the Communist Party or other subversive movements.

5. Is responsible for the program for effective compartmentation of investigative data and other Security information disseminated to other components of the Agency for official use and subsequent return to the Office of Security.

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6. Is responsible for the Records Management Program for the entire Office of Security including Reports, Management, Correspondence Management, Forms Management, Records Systems and File Standards, Vital Materials, Records Disposition and Records Equipment Central, and File Space Utilization.

SURVEY ANALYSIS OF THE STATED PURPOSE
OF
SECURITY RECORDS DIVISION

A. MISSION

Provides operating support to the Office of Security by developing, managing, using, and protecting Security Records. It also provides records research and analysis service.

B. FUNCTIONS

1. Creates case file for each clearance request.

Assembles biographic data on each clearance case.

Maintains and uses record files and index to files and references.

Operates teletype between headquarters and

Studies modern records management equipment and techniques.

Establishes procedures for maximum use of Security Files.

Protects Security Files and covert sources and identities.
2. Maintains only Agency file of true identities on any person ever connected with Agency.

Recommends and implements policies on sensitive and TOP SECRET files in the Office of Security.
3. Aids in exploiting Security Files by:
 - a. Searching, compiling, and making available collections of material related to investigations.
 - b. Monitors, analyzes, and reports special trends in Security and investigative information.
4. Screens press and publications for information on subversive activities.
5. Maintains program to compartment investigative data disseminated.
6. Administers Records Management Program for Office of Security.

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OPERATIONS IN SECURITY RECORDS DIVISION

1. Security Records Division (SRD) provides service and support in the processing of all requests for Security Approval or Name Check. To provide this service SRD has files and "Investigative Aids" for use by the offices that grant such approvals in the Office of Security and the U. S. Government.

2. These "Investigative Aids" for overt and covert files on individuals, companies, and groups connected with the agency plus many other groups of files, books, films, and accumulated materials on people and organizations not connected with the Agency. The reference materials and dossier files serve the double role of Security Records on employees and possible Investigative Aids for future investigations. Several other groups of miscellaneous files are considered reference investigative aids.

3. The main work of SRD is: (a) the creation and (b) maintenance of these Investigative Aids and Security records, and (c) loaning the files or the information in them to authorized individuals for study.

- a. Creation work requires building case files on individual "subjects." These case folders are numerically arranged in 3 major groups by their "Office of Security" number. (Often called Case, SRD, SSD, or Security Number, and not to be confused with such things as "S" or "C" numbers). Thousands of persons and things with no case folders are grouped into miscellaneous files. These miscellaneous files have over 40 of their own groups, codes, numbers, letters, and designations. (MS, EE, CC, AI, etc.)
- b. Maintenance work includes keeping an alphabetical (by name) index to the numbered case folders and miscellaneous files. This 3x5 index card is not for information--its content helps identify the individual on the card and locate his file. (Name, case number, date and place of birth, address, employment, alias, and an occasional cross reference or derogatory "DL" mark.) The cards are of 4 colors to indicate overt or covert cases and subject or reference files. Maintenance also requires filing material in the folders and getting folders in and out of the file as needed. Bulky items on a subject are filed separately and cross referenced to the folder.
- c. Loaning the file or information to authorized investigators, is a major workload. Upon request for a Security Approval, SRD gathers together all the material on the subject or related to that subject and loans this package

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of records (or a summary of it) to the office responsible for the investigation and recommendation of approval or disapproval.

4. SRD has a "production line" procedure which includes: receiving requests, processing the requests by their priority, searching the index, locating the files, assembling the material, and making a preliminary analysis and summary for the investigators. Each phase requires some procedure aids, controls, and files. However, along this production line the requests stop for preparation of ditto and control cards used by other Divisions outside SRD. The SRD manpower also supplies many courier, filing, and information services not connected with the records or requests.

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ORGANIZATION

HR

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K. OFFICE OF SECURITY

- (1) MISSION. The Director of Security is charged with the preparation and execution of the Agency's security program and with the performance of security inspection functions as provided below.
- (2) FUNCTIONS. The Director of Security shall:
 - (a) Recommend the establishment of Agency policies relating to security, and establish procedures for their implementation.
 - (b) Obtain and evaluate through investigation, technical interrogation, and liaison contact with other United States agencies, pertinent information regarding personnel for employment, assignment, or association with the Agency.
 - (c) Approve or disapprove, from a security standpoint, the employment or utilization of individuals by the Agency, except certain approvals which are reserved to the Deputy Director (Plans) and concerning which the Director of Security will furnish the Deputy Director (Plans) with the results of his investigations and recommendations.

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Revised: 1 April 1961

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AGENCY REGULATIONS
ON
SECURITY CLEARANCES AND FILES

25X1 HR SECURITY

Paragraph



Clearance of Personnel for Duty with CIA
"Q" Clearances
Security Processing of Personnel for Entrance on Duty, etc.
Secrecy Agreements
Limitation on Outside Activities
Release of Agency information
Marriage of Employees
Protection and Disclosure of Information
Care and Use of Official Data
Release or Disclosure of Classified or Unclassified CIA
Intelligence Material
Classification of Official Information and Material
Storage of Classified and Controlled Matter
Security of Classified Documents
Control of Personnel Security Files
Control of AEC Restricted Data
Control of NSC Information
CIA Contact Security Policies for non-USIB Agencies
Security of Areas, Offices, and Buildings

25X1 HR PERSONNEL

Paragraph



Personnel Policy
Regulations Relating to Security Requirements for
Employment

25X1 HR OPERATIONS - GENERAL

Alien Affairs
Defector Program
Submission of Name Check Requests to DDP
Use of Private Attorneys in Operations

HR LIAISON

Liaison with FBI

HR RECORDS MANAGEMENT

Records Management Program

HR COMMUNICATIONS

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Cryptographic Clearances

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**OFFICE OF SECURITY ANNOUNCEMENTS
CONCERNING SRD**

Office of Security Notice 58-7 -- 13 October 1958

SRD is created and will assume functions of:
Records Section, PSD
Covert Records Section, SRD
Research Section, PSD
Records Management, Admin. Training Staff
Receipt and Logging of Mail, Admin. Training Staff
Courier Service, ATB
Reproduction Service, ATB
Top Secret Control Officer, O/Director, O/Security

Office of Security Directive 58-3 -- 5 November 1958

Entrance into SRD area is restricted to:
Branch Chiefs
Duty Officers after hours
SRD Personnel
Specially Designated Personnel

Office of Security Directive 59-2 -- 12 March 1959

Detailed Instructions on
Indexing Operations

Office of Security Notice 59-3 -- 25 May 1959

Authorizes SRD overtime work.

Office of Security Directive 59-5 -- 16 September 1959

Current load of 200 phone requests must be cut down. Use
Form Number 745.

Office of Security Directive 59-8 -- 12 October 1959

Establishes Recharge Procedure to periodically check location
of SRD case folders out on loan.

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107. FIGURE OF ORGANIZATION - SUFFICIENTLY DETAILED SO THAT IT CAN BE
USED TO SEE HOW THE WORK AND THE NUMBER OF PEOPLE INVOLVED."

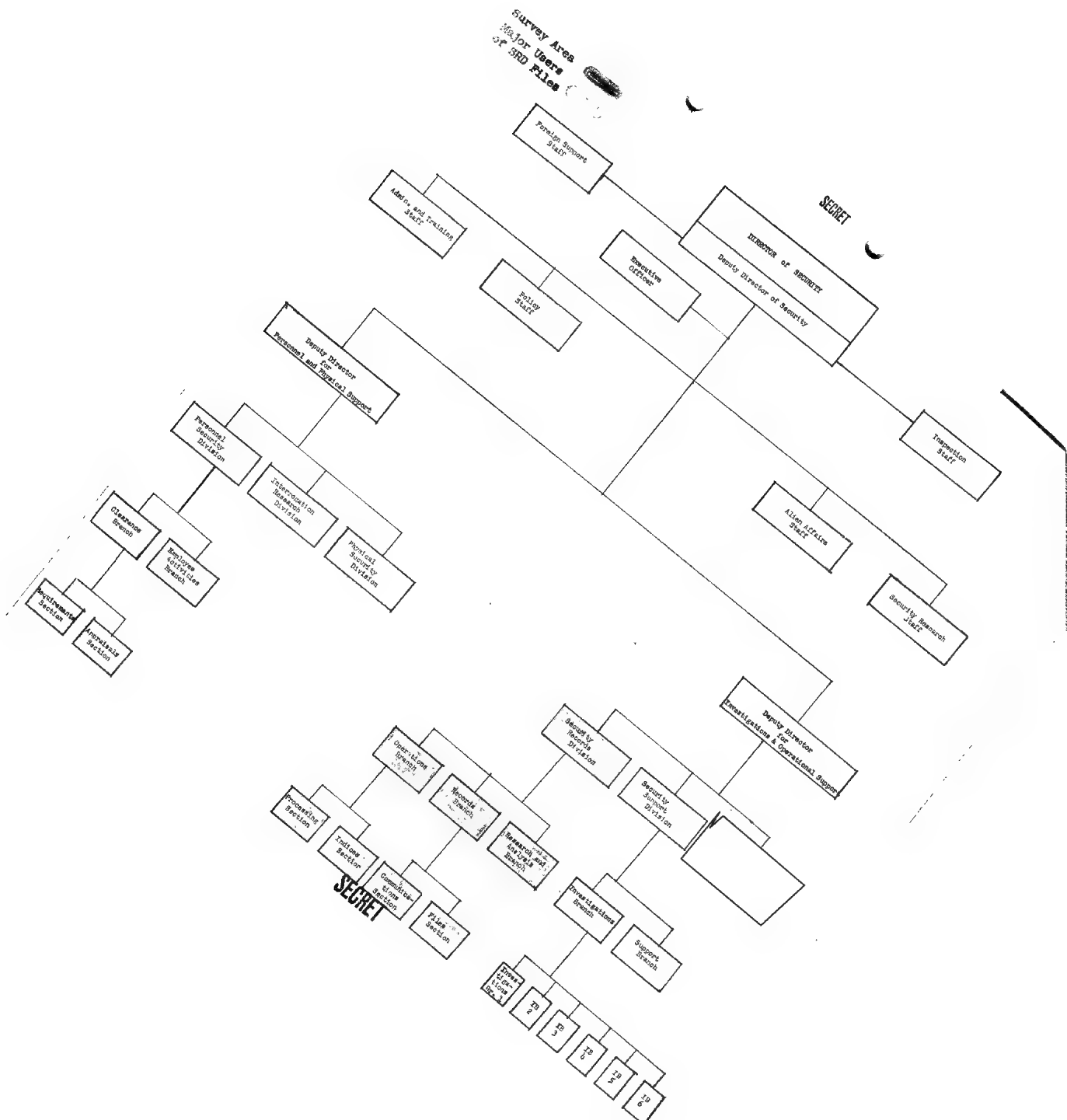
DISCUSSION

1. The Organization Chart in Agency Regulation HR ☐ Figure 12 dated 1 April 1961 is not current and is not sufficiently detailed to fully understand SFD. The attached unofficial chart was drafted from survey interviews and emphasizes SFD offices below Division level and only those offices in other Division with which SFD work is intimately connected. (TAB H) Reorganizations since the Survey have already changed a few of the top staffs and lower sections.
2. A more graphic understanding of SFD work areas and work flow can be obtained from a floor layout of the five sections involved. (TAB I) Although the new building was incomplete, an examination of the plans and the actual area to be occupied permitted a tentative floor plan that is worth review. (TAB J).
3. The Division has about ☐ professional (GS-9 and up) and ☐ clerical personnel. The organization, titles, and number of people in each section is not a firm criteria for analysis because personnel and assignments are changed to meet various workloads. Also, several individuals walk from section to section completing several different steps in processing a case. Although an increase in personnel has been requested and changes occur daily, the attached list is Division personnel by grade in each section at the time of the Survey. (TAB K).
4. By the same token, equally important to the work flow are the several key officials in offices of AD and ASD, the greatest users of the Files. (TAB L) Several other offices in the Office of Security and the Office of Personnel have a vested interest in the Files. Similarly important is ☐ of CI ☐ DDP, because 15% of the total case requests come thru his office. The Survey did not attempt to determine or list all users of the Files and their interest.

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QUESTION

13. FLOW OF DATA THROUGH THE SYSTEM - AN INFORMATION FLOW CHART WOULD BE HELPFUL
a. INPUT: (1) TYPES AND FORMS OF MATERIALS RECEIVED."

COMMENT

- I. SRD receives files and accumulates all types of documentary information on individuals, groups, and organizations that are either private, political, social, cultural, economic, or industrial. This information is in any and every conceivable form (memos, backslips, notes, reports, cables, photos, films, tapes, cards, news clippings, books, magazines, maps, charts, records and so forth).
- II. SRD receives inquiries, from those offices that approve requests for clearance, to review the above information or a summary of it. These inquiries arrive on several varieties of forms, memos, or backslips as well as by phone calls. Ultimately the clearance request, the review, and the approval or disapproval reply become part of the file.
- III. Attached is a list of the contents of the average overt and covert-type case file folder. (TAB M) The list cannot show that 2, 3, or 4 copies of some documents and reports are in each folder. The list is incomplete because earlier procedures included several other kinds of items (i.e. fingerprint cards) and a variety of documents also are being added by various analysts and security officials.
- IV. At present there are more than 6,000 linear feet of these case files. The contents of the miscellaneous file folders (1,200 ft.) is much more varied than that of the case files. Details on these files are covered in question 4, below.
- V. Attached for your information are several of the forms used in processing material information, or cases and which become part of the file. (TAB N) Again, this collection is incomplete because new procedures and forms have been initiated to meet many varieties of requests and priorities. At present several new standardized procedures are being installed to consolidate and simplify the work flow and correct the plethora of forms used.
- VI. At present the cases SRD receives include some 14 types of "covert" clearance requests and 18 types of "overt" clearances. Several other types of Name Check requests are received from outside agencies and Office of Security officials. Listed are the titles used by SRD personnel to identify these different requests. (TAB O).

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CONTENTS OF COVERT-TYPE CASE FILE FOLDERS

TRUE NAME FILE

1. Biographic data sheets, PHL's and PRN's
2. Letters of Assignments
3. Teletype TWX messages
4. Cables (not in Pseudonym)
5. Reports of Investigations
6. "R" Checks and "RI" Checks
7. Research and Analysis Summaries
8. Indices Search Sheets
9. Cross Reference Sheets
10. Coordination Sheets
11. Correspondence on Subject

SECURITY NAME FILE

1. Requests for Covert Clearance Action
2. All Operational Information pertaining to subject covert agent status
3. DI Summaries
4. Replies to CI/OA
5. Covert clearances
6. Violations overseas

CONTENTS OF COVERT-TYPE CASE FILE FOLDERS

Left Side of Folder

1. Request for Security Clearance
2. Secrecy Agreement
3. Picture and finger print card
4. Signed Attorney General's List
5. Personal History Statement
6. Change of address if any
7. Keep on Top flag sheet

Right Side of Folder

1. Report of interview
2. Indices search sheet
3. Investigative Transmittal sheet
4. Notification of Security
5. Interrogation Research Division Flag Sheet
6. Reports of Investigation (many)
7. Security Approval
8. Entrance on Duty Notice
9. Reassignments
10. Transfers
11. Cancellations (of clearances or case closing)
12. Travel Orders.
13. Cables
14. Suspense "Pend" Slip
15. Outside Activities (OAH)
16. Designations
17. Office Memorandums

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FORMS USED
IN
PROCESSING REQUESTS FOR SECURITY APPROVAL

<u>FORM NO.</u>	<u>DATED</u>	<u>TITLE</u>
693	9-59	Request for Investigation and (or) Name Check
772	3-61	Request for Approval or Investi- gation Action
1113	Nov 56	Telephone Clearance Request
577	3-61	Request for Security Clearance
444	Sep 56	Personal History Statement
644	3-58	Case Processing Record
745	Aug 55	Indices Search Request
1143	Jan 57	Preliminary Processing Sheet
1734	3-60	Indices Search Request
1735	3-60	Indices Search Results
1708	11-59	Background Information for Per- sonal Service Contact
180	7-57	Biographic Data
1147	Jan 57	Name Check Analysis
879	5-59	Outside Activity Approval Request
1577	1-59	Processing Sheet
1297	11-57	Flag (for file folder)
(none)	(none)	Top Sheet Flag (for file folder)
1605	3-59	Request for Security Briefing of Returnee

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VARIOUS TYPES OF REQUESTS
For
SECURITY APPROVAL ("CLEARANCE")

Covert Type Cases

<u>Title</u>	<u>Forms Used</u>	<u>From</u>
1. Provisional Operational Approval (POA)	693 with 1050	CI/CA
2. Operational Approval (OA)	693 with 1050	CI/CA
3. Provisional Proprietary Approval (PPA)	Memo	Operating Div.
4. Proprietary Approval (PA)	Memo	Operating Div.
5. Provisional Covert Security Approval (PCSA)	772	Operating Div.
6. Covert Security Approval (CSA)	772	Operating Div.
7. Covert Security Approval for Liaison (CSAL)	772	Operating Div.
8. Covert Name Check (CNC)	Memo or 772	Operating Div.
9. "24-Hour Check" [] (24 Hour)	Memo or 772	ID Division
10. Confidential Informants (CIC)	Memo	Operating Div.
11. []	Ditto Memo and DD-48	Operating Div.
12. Type A (A)	772	Operating Div.
13. Special Inquiries (SI)	Memo	Operating Div.
14. "Comebacks" (Comeback)	693	CI/OA

Overt Type Cases

1. Staff Employee (T/O type) (TO)	377	O/Pers.
2. Consultants	377	O/Pers.
3. Junior Officer Trainees	377	P&B
4. Joint Publications Review Service (JPRS)	Memo	OO
5. Marriages of Employees	1152	
6. Contractor Employee (CE)	644	Log.
7. Contractor himself (CC)	644	Log.
8. Contacts (EE)	644	OO
9. Aliens (AI)	644	
10. Top Secret Clearance (TSD)		
11. New Building Employee (NB)	1508	Log.
12. Char Force (Char)		Log.
13. GSA Guards (Guard)		Log.
14. FBI/CO/DRI (FBID)	Memo	FBID
15. Type A (A)		
16. Maintenance Crew (Maintenance)		Log.
17. []		Log.
18. Phoned requests from Security Offices (Crash)		O/Sec.

Name Checks

1. Other Agency Name Checks (OANC)	1062	Outside
------------------------------------	------	---------

COLLECTION

30. INPUT: (2) and (3) FREQUENCY AND VOLUME OF REQUESTS

CONTENT

- I. Each request for Security Approval requires searching of the 500 master index to determine whether or not the subject is on file. If he is not, then a case folder is created. Of the 35,000 requests received each year more than 75% are new, requiring the creation of a file.
- II. The attached list includes 5 types of case requests received and the resulting Indices activity. This list provides one indication of the size and growth of both the files and its index. (TAB P)
- III. Each new case folder is filed numerically and the index card filed alphabetically. Eventually reports, correspondence, and other related papers are received for insertion into that folder. All papers refer to the subject by name thus an index search is required to find his case number. A weekly average of 7,000 papers are added to the files. Recently the averaged jumped to 15,000. Also, each week about 4,000 folders are loaned out while another 4,000 return. Weekly, approximately 400 folders change hands while out on loan, therefore, a "Recharge" arrives requesting a change be made on the charge out card indicating who has the file. Attached are statistics on this workload. (TAB Q).
- IV. A major consideration is the priority of processing and name searching. Over 85% are "Expedite" cases. This condition created "degrees of urgency." The attached list shows seven plateaus of priority and several rules of thumb being used in JPD processing. (TAB R).

ACTIVITY AND GROWTH OF SECURITY FILES

	<u>1959</u>	<u>1960</u>	<u>Jan-Apr.</u> <u>1961</u>
<u>OV: PT CASES</u>			
Total Cases Received	5,607	5,809	3,108
(@20 names per case)			
Total Names Searched	112,140	116,180	62,160
Monthly Average	9,340	9,680	15,540
<u>COVERT CASES</u>			
Total Cases Received			
(@5 names per case)			
Total Names Searched			
Monthly Average			
<u>CONF-BACK CASES</u>			
Total Cases Received	3,708	1,821	1,010
(@5 names per case)			
Total Names Searched	18,540	9,105	5,050
Monthly Average	1,545	760	1,265
<u>MISCELLANEOUS CASES</u>			
Total Cases Received	12,626	11,321	4,131
(@3 names per case)			
Total Names Searched	37,878	33,963	12,393
Monthly Average	3,156	2,829	3,099
<u>NAME CHECKS</u>			
Total Names Received		130,944	49,348
Monthly Average		10,912	12,337
<u>NEW INDEX CARDS</u>			
Total Cards Made		144,803	
Monthly Average		12,067	
<u>OTHER SEARCHES</u>			
Name Changes, Cross Ref. & Informants		7,978	
Monthly Average		665	

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WEEKLY HANDLING OF RED FILES

<u>Week of</u>	<u>Correspondence Filed</u>	<u>Folders Returned</u>	<u>Folders Requested</u>	<u>Files Recharged</u>
<u>Jan.</u>				
7	5,599	4,677	3,810	646
14	6,831	5,016	4,720	1,222
21	5,807	4,306	3,817	154
28	<u>6,889</u>	<u>4,520</u>	<u>4,101</u>	<u>943</u>
Total	25,126	18,519	16,448	2,964
<u>Feb.</u>				
4	7,493	5,169	4,372	96
11	5,639	5,440	3,959	88
18	8,439	6,177	5,943	1,074
25	<u>9,086</u>	<u>6,208</u>	<u>4,964</u>	<u>400</u>
Total	30,657	22,994	19,238	1,658
<u>Mar.</u>				
4	8,610	6,028	4,561	412
11	8,523	6,457	3,988	443
18	8,221	5,978	4,775	610
25	<u>9,246</u>	<u>6,875</u>	<u>4,427</u>	<u>401</u>
Total	34,600	25,338	17,751	1,866

GRADES OF PRIORITIES
for
INDICES PROCESSING OF REQUESTS

Covert Cases

1. ROUTINE

Those "Comeback" cases returned from
Investigations Branch for completion
of files search.

Subject, spouse, family,
relatives, and references.

2. EXPEDITE

All Covert Cases and some

Subject and spouse.

3. PCA

Greater priority than covert cases.

Subject and spouse.

4. SUPER EXPEDITE

Coverts greatest priority, most

Subject and some spouses
and relatives.

5. PHONE REQUESTS

Instantly (both overt and covert)

Subject name check.

6. INTER-OFFICE BUZZER PHONE

Breathlessly (both overt and covert)

Subject name check.

7. OUTSIDE PERSONNEL

Non-stop --- do their own searching or help
Indices searchers and wait for findings

Subject

OVERT CASES

ROUTINE

HURRY

EXPEDITE

1. T/O Cases (first priority)

All on PHS

2. Military Personnel Names

Names listed

3. Type A's (Station Employees Abroad)

Subject and spouse

4. Non T/O Cases (Contractors of TBS)

Subject and names listed.

NAME CHECKS

- | | |
|--|---------|
| 1. EE (Contacts) | Subject |
| 2. CC (Contractors) | Subject |
| 3. NB (New Building Employees) | Subject |
| 4. Misc. (Miscellaneous) | Subject |
| 5. AI (Aliens) | Subject |
| 6. - ONAC (Outside Agencies - FCI-AEC-
NSA-Army) | Subject |
| 7. Routine (Written requests from O/Security) | Subject |
| 8. Expedite (Name Checks so marked) | Subject |

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QUESTION

3B. INFORMATION PROCESSING

ANSWER

- I. SRD processes many types of requests as indicated in Tabs O, P, and R. Each type requires different processing, depending upon its priority and degree of clearance requested. This processing may be generalized as Overt and Covert Cases and Name Checks. As requested by [] I have condensed and summarized this case processing on one chart. Similarly another chart was summarized to show the field investigation paperwork flowing through SRD. These summary flow charts are attached as Tab S.
- II. Two detailed flow charts are also attached to reveal the complexity and variety of processing procedures connected with handling the 35,000 overt and covert cases each year. (Tab T)
- III. The processing of the 150,000 Name Checks each year differs from the cases. The requests come on many different forms from many agencies to Employees Activities Branch, PSD. They are forwarded directly to the Indices Section. When appropriate, the Searcher marks "no record" on the name check request card, returns it to EAB. If a record is found the file is charged out and sent to EAB for the analysis and reply.
- IV. The Records Integration Division RID/DDP, is believed to make more name checks than SRD. Occasionally RI asks for a name check in SRD. These come through Processing Section, SRD which does analysis on all name checks involving covert files in order to restrict such files leaving SRD.
- V. The procedure changes resulting from our Records Survey of April 1961 are not reflected on these charts which show conditions as they existed when surveyed. In months to come the move to the new building, new filing and sorting equipment plus several records management adjustments will alter the existing procedures to a great degree.

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DURING

SRO PROCESSING OF REQUESTS FOR SECURITY APPROVAL

SECTIONS WITHIN THE SECURITY RECORDS DIVISION

ORIGIN

COMMUNICATIONS

PROCESSING

INDEXES

FILES

RESEARCH & ANALYSIS

REPRODUCTION

O/Sec.
Div.

Originating
Office
Submits
Request
and
Biographic
Data

①

②

Mail
Received

③

Prepares Case package, folders, duplicates data for investigators

④

⑤

Searches for available information

⑥

Pulls all files on case

No record on subject.
Phones CI/OA on FOA only.

⑦ Analyzes subject and related files

Prepares Summary of findings

△

Returns folders to files

⑧

Forwards case to complete investigation

⑨

Reviews info.
Orders investi-
gation

⑩

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FBI and
Other Agencies
check records

O/Security
investigate

⑪

Analyzes
Reports
Sends
Approval or
Disapproval.
to Requestor.
and Sends
Reports and
action to Files.

⑫
Acts on
subject
based on
Security's
reply.

- - Action
- - Review
- △ - Storage

△

Material added to files.

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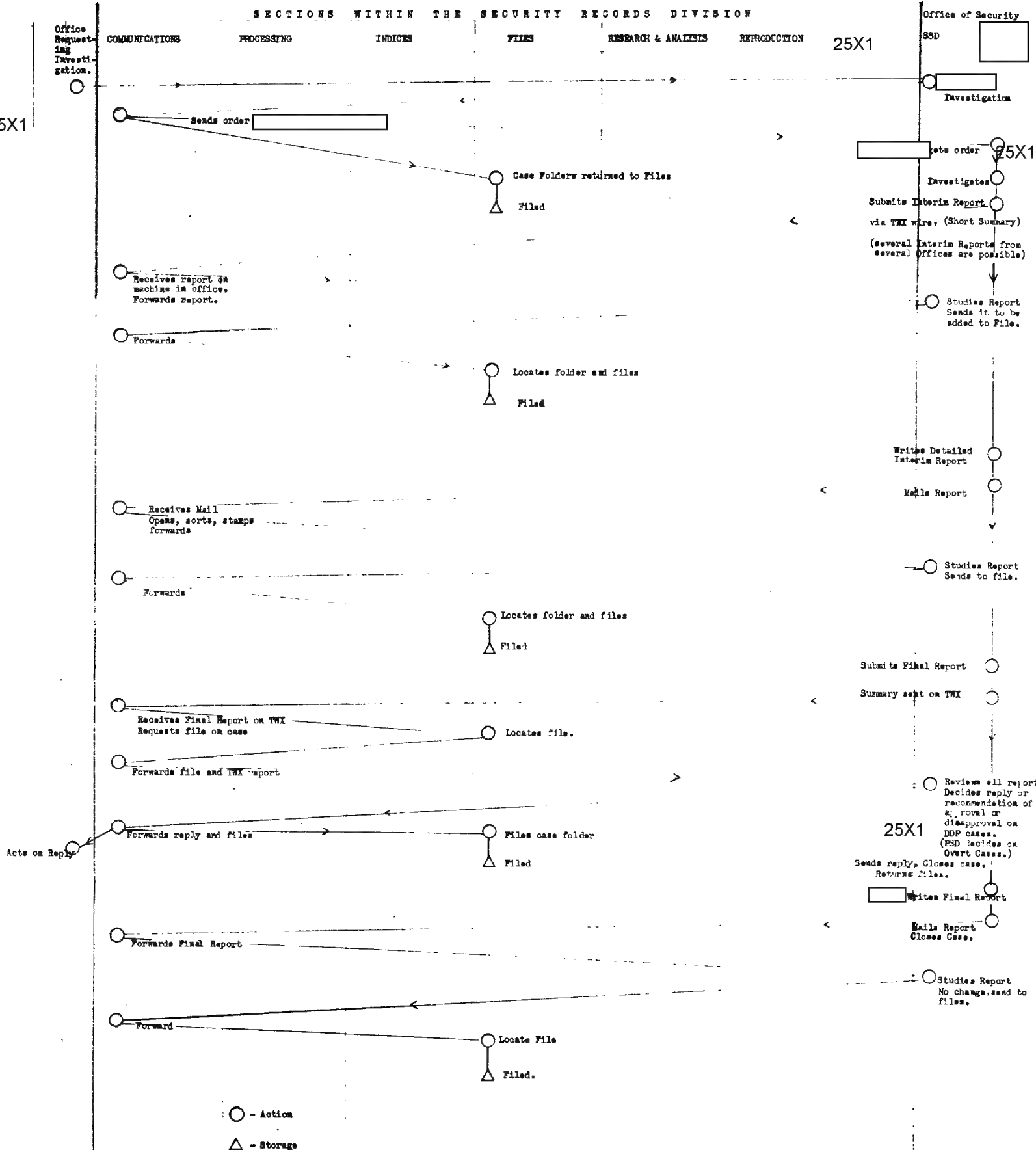
DURING

SRD HANDLING ☐ INVESTIGATION PROCEDURES

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□ - Review

⊗ - Action

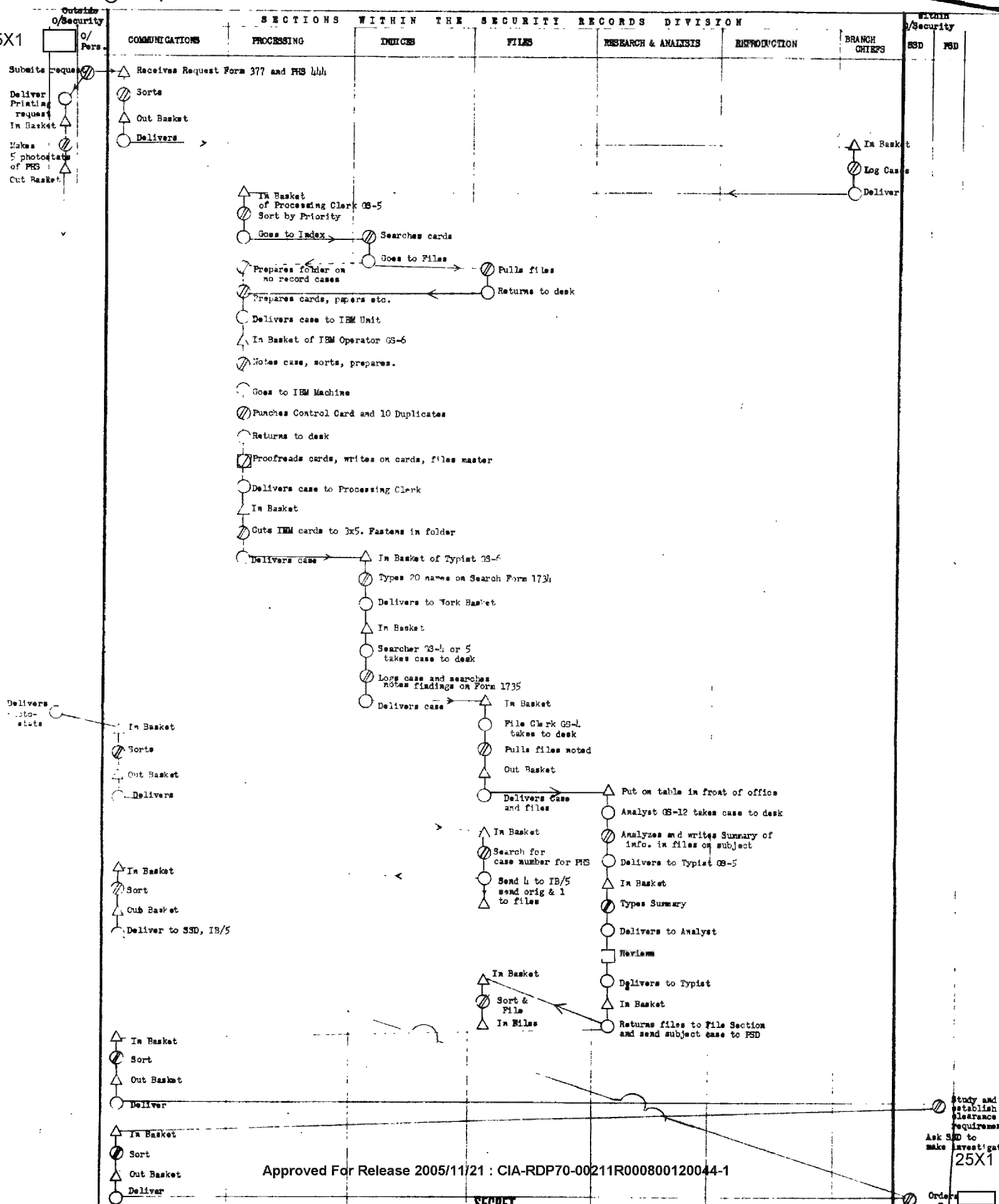
△ - Storage

○ - Transport

Office of Personnel Requests for

(Overt) SECURITY APPROVALS ON STAFF PERSONNEL (T/O)

25X1



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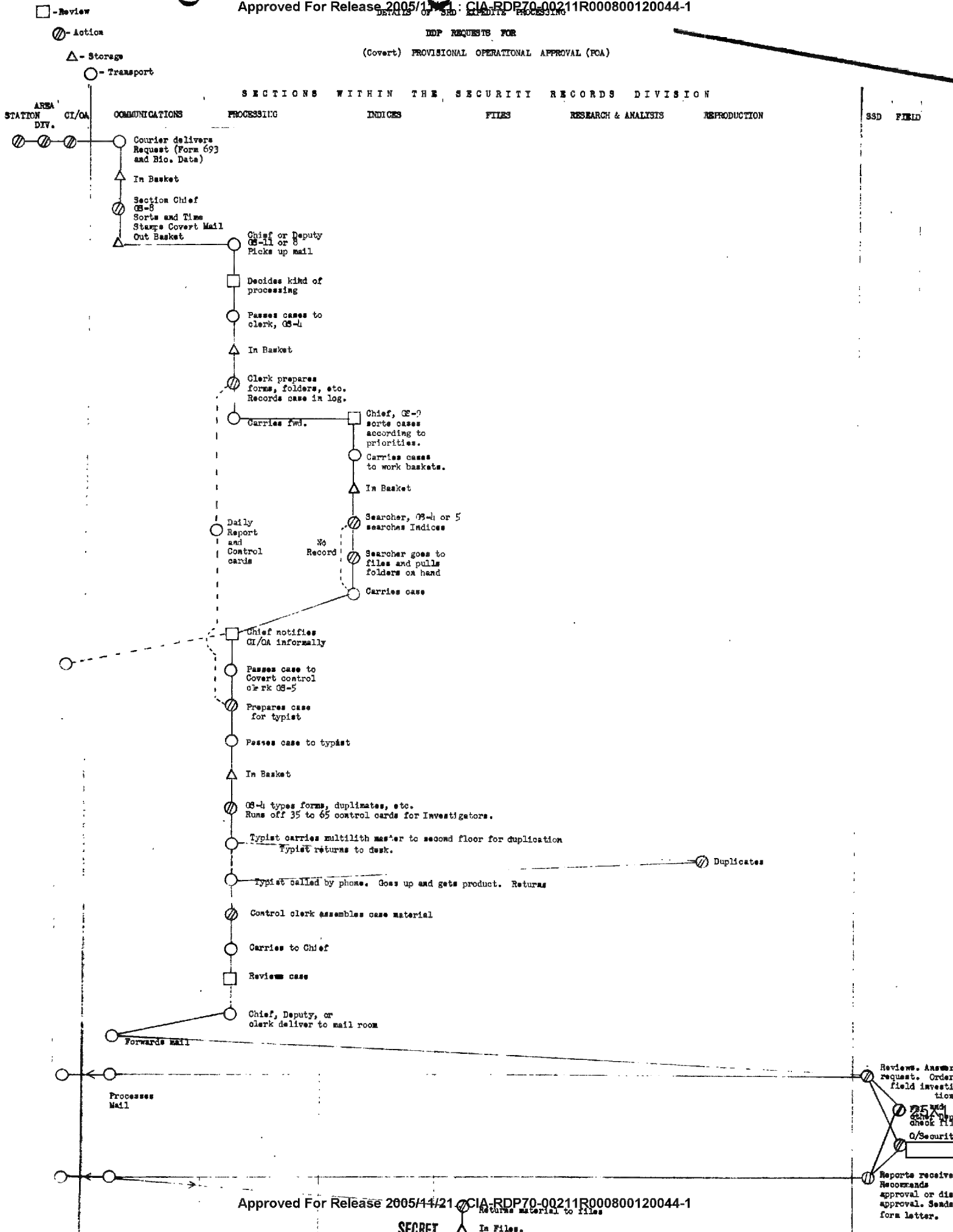
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DETAILS OF SHD: MULTIPLE PROCESSING

DDP REQUESTS FOR

(Covert) PROVISIONAL OPERATIONAL APPROVAL (POA)



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QUESTION

"4. FILES
A. FORM/NAME, CONTENT, DESCRIBE, SIZE, RATE OF GROWTH, AND RETIREMENT."

COMMENT

- I. SRD has most, but not all, the Security files of the Office of Security. However, the SRD files are divided into four groups with the fourth group subdivided into 45 parts. The attached list gives a brief explanation of the four groups and their approximate size in 1954 and 1961. (TABS U) The "NS Files" are equally important to SRD procedures. (TAB V).
- II. The rate of retirement is not representative and we believe could be increased ten fold, however, officials and supervisors in SRD do not share this belief at present. (TAB W)
- III. The files on many individuals consist of several file folders. Still other individuals have much bulky and unfileable material available on them. At present this bulky material totals 46 feet and is filed in 7 cabinets separate from the major file groups.
- IV. The index to the files is on 3 x 5 cards of 4 colors. A color represents a subject or reference in a covert or overt file. The wording on the cards varies depending on the file it refers to. These cards do include references to files outside the 4 major groups, (i.e., files in R & A Section, Special Research Staff, the Director's Office, etc.)
- V. It is estimated there are 1,250,000 index cards on file. Office of Security Directive 59-2, 12 March 1959 gives a detailed, official description of the policy and procedures including content and format for Index cards. Excerpts are attached (TAB X).
- VI. The index cards are not retired. A purge of duplicates and retyping of all the cards is underway. Attached is an analysis of the size of the index file and a reference rate during a brief spot check in Feb. 1961. (TAB Y)

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MAJOR GROUPS OF SRD FILES

<u>File</u>	<u>Size June - 54</u>	<u>Size April - 61</u>	<u>Percent Increase</u>
1. <u>Pseudo Name (Covert) Files</u>			
<div data-bbox="224 590 891 873" style="border: 1px solid black; height: 135px; width: 411px;"></div>	4rt.	560rt.	289%
2. <u>True Name (Covert) Files</u>			
Red border, prenumbered folders. Arranged by folder number. Contains all material concerning covert subject's clearance request, investigations, and final action plus other Security material on subject. From #1 to about #244,000. (Blocks of numbers are unused.)	495	2,604	426
3. <u>True Name (Overt) Files</u>	1,584	2,866	81
No border, prenumbered folders. Arranged by folder number. Contains all material on overt subject concerning clearance, investigations, final action plus other security material. From #1 to about #192,000. (Large blocks of numbers are unused as yet.)			
4. <u>Miscellaneous Files</u>			
Over 40 groups of files containing various types of material. Group ranges from 1 folder to several hundred and are from 1 inch to over 700 feet in size. The groups have been created at the request of many different individuals, some outside Security Records Division. A detailed breakdown of these groups are part of a separate inventory.	331	1,205	264

SRD MISCELLANEOUS SECURITY FILES

<u>File Name</u>	<u>Size Ft. In.</u>	<u>File Created For</u>	<u>Remarks</u>
1. MS-2000-A	21-0	EAB	Papers on groups or individuals. Ending letter indicates file location and content.
2. AI-0000	88-6	PSD	Alien groups or persons. #1-17,000 numerical.
3. MS-0000	144-0	SRS	Organization or people #1-12,000 except for other groups of numbers listed.
4. MS-2001-00	18-0	EAB	One subject per folder. Suffix added to each 2001 number.
5. MS-4000-00	12-0	EAB	Individuals only. Suffix added to each 4000 number.
6. MS-4001-00	19-6	EAB	
7. MS-5000-00	9-0	EAB	
8. MS-5001-00	6-0	EAB	
9. MS-5000 Groups	4-6	EAB	
10. #10400	--	SRS	All files permanently charged out to [] SRS. 25X1
11. GF-1	26-4	EAB	Group files for EAB - 1,000 folders
12. GF-2	0-4	EAB	Clandestine Reports - Contacts
13. GF-3	0-8	SRD	Common Name
14. GF-4	1-2	R&A	Old MS-2049 by [] 25X1
15. GF-5	0-8	PSD	Group Names and Categories
16. GF-6	4-6	SRD	Index Cards on people with 25 or more
17. GF-7	4-6	PSD	[] 25X1
18. GF-8	2-0	SRD	JOTS with precheck by []
19. GF-9	6-0	PSD	[] 25X1
20. GF-10		PSD	Internal contacts (2 folders).

21. GF-11	0-1	PSD	GSA Char Forces - Digest Files.
22. GS-12	0-1	AAS	Alien Affairs (2 folders) (see [redacted] - SRD)
23. GF-13	0-1	PSD	U.S. Naval Facilities (3 folders)
24. GF-14	0-1	PSD	(gone - charged to [redacted])
25. MS-600	0-1	SRD	Foreign Visitors
26. CC-000	33-0	PSD	Contract personnel
27. CRANK #MS-33560	5-0	SRD	Letters received by PSD filed chronologically. Individual crank letters.
28. Name Check	10-6	SRD	Individuals on whom an outside Agency Name Check was completed.
29. FBI	3-0	EAB	--
30. Misc (Yellow Tab)	4-6	SRD	Alphabetical by individual name.
31. SO India	1-0	--	Old Files on hand.
32. DL Futures	9-0	SRD	People of possible future interest.
33. British Liaison	0-1	--	dated 1949 (9 folders)
34. Fed. Works Agency	0-1	--	dated 1947 (1 folder)
35. Investigative Incidents	0-1	--	dated 1947 (1 folder)
36. Affiliates	1-0	--	--
37. Clippings File	0-1	--	[redacted]
38. CIA Publicity	0-6	--	6 folders
39. FBIB	0-1	--	(out)
40. X-R File	3-0	--	Personnel eliminated. 11 large bulky folders.
41. TSCC	0-1	--	5 folders
42. Human Events	1-0	--	3 volumes with investigation of [redacted]

25X1

25X1

25X1

25X1

43. Chrono Files	0-3	PSD	3 folders of correspondence.
44. FE	--	PSD	Contact Personnel. Started separately but now part of CC.
45. CC	726-0	PSD	Contract Personnel. FE and CC are now combined.
46. Watch List	0-1	SRD	Persons to Watch - #3335. Per- manently charged out to 25X1
47. Boxes, charts, etc. <u>40-0</u>		MISC	Non SRD files
TOTAL	1,207-6		

GAD RETIRED RECORDS

References to Records

<u>Date Retired</u> <u>1960</u>	<u>Cu. Ft.</u> <u>Retired</u>	<u>(Minimum</u> <u>Expected)</u>	<u>1960</u>	<u>1961</u>
Feb	11	(60)	24	6
Apr	7	(32)	7	3
June	8	(24)	9	5
June	9	(30)	23	3
July	17	(45)	14	10
July (5x8 cards)	9	(25)	0	0
Aug	33	(68)	26	9
Sept	59	(90)	40	23
Oct	39	(40)	24	17
Nov	22	(11)	15	14
Dec	<u>25</u>	<u>(13)</u>	<u>6</u>	<u>21</u>
Sub-Total	239	438	188	111
<u>1961</u>				
Jan	22	(33)	-	7
Apr	<u>12</u>	<u>(6)</u>	<u>-</u>	<u>6</u>
Total	273	477	188	124

SECRET12 March 1959

1. The consolidation of our Office of Security Indices holdings into a uniform master index is being initiated at this time in the interest of increased efficiency of operation. In order to achieve uniformity, all index cards will be standardized with regard to size, texture, information to be included thereon and the purpose for which they are used.

2. Effective 1 APRIL 1959, information to be indexed will be placed on 3" x 5" hardback cards. A card which is used to index the name of the subject of the security file will be known as a Primary Index Card (formerly Subject index card). A card which is used to index any name or data other than the subject of the security file will be called a Secondary Index Card (formerly Reference or Asterisk index card). In order to distinguish a primary index card from a secondary index card and also to distinguish whether information has been indexed to an overt or covert security file, a color system of index cards will be used as follows:

a. Primary Index Cards:

- (1) Blue - to index the subject of any overt security file
- (2) White - to index the subject of any covert security file.

b. Secondary Index Cards:

- (1) Salmon - any indexing to an overt security file or record other than the subject of a file.
- (2) Yellow - any indexing to a covert security file or record other than the subject of a file.

3. There are three illustrations set forth below which indicate examples of Primary and Secondary Index Cards

Illustration "A" - Primary Index Card

DOE, John Joseph	23456
Born 11 Apr 1923	
Brooklyn, N. Y.	
Add 1408 Parkview Rd	
Phila., Pa.	
Emp: Univ. of Penn.	
Language Instructor	

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Illustration "B" - Secondary Index Card

SMITH, William M.	*123456
Attorney Smith & Jones 172 W. Elm St. Kansas City, Mo.	
*DOE, John J. FBI rpt dtd 4 Sept 1957, p 3	
Member, Institute of Pacific Relations, 1946	

Illustration "C" - Secondary Index Card

SMITH & JONES, Attorneys 172 W. Elm St. Kansas City, Mo.	*123456
*DOE, John J. FBI rpt dtd 4 Sept 1957, p 3	

4. Illustration "A" is an example of a primary index card. John J. DOE is the subject of file number 123456. If this is an overt file, Illustration "A" would then be a blue card. If it is a covert file, Illustration "A" would be a white card.

5. Illustration "B" is an example of a secondary index card. The security file (123456) on John J. DOE contained an FBI report, dated 4 September 1957. On page 3 of this report, there was pertinent information on one William M. SMITH, which was indexed. *SMITH was the subject of the report.*

6. Illustration "C" is an example of a secondary index card which reflects that the Law Firm of SMITH & JONES was also indexed into the file on John J. DOE. Illustrations "B" and "C" would be prepared on salmon.

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cards if John J. DOE were the subject of an overt security file and on yellow cards if he were the subject of a covert security file.

7. It is extremely important that an index card contain as much identifying or distinguishing information as practicable. Such information would include, if available, full name, birth data, address, employment as well as sex, color, etc., when these would be helpful for identification purposes. Any aka's should be listed on the card immediately below the indexed name and a separate card should be prepared for each aka. Particular attention should also be paid to accuracy in spelling. When identifying data is not available, no extra effort should be made to obtain such data but consideration should be given to the value of indexing a name without any identifying data. In addition to identifying data described above, a brief descriptive phrase may be placed on a secondary index card, when appropriate. For instance, Illustration "B" indicates that William M. SMITH was a member of the Institute of Pacific Relations in 1946. Other examples of descriptive data might be the following: "Friend of Alger Hiss", "CP Nominating Petition Signer", or "Dismissed from Commerce Department - Morals". This information will then be included on the search sheet denoting the results of the indices search and it can be used by requestors for identification or elimination purposes if they so desire.

8. In order that index cards may be searched more readily and may be uniform in appearance, it is requested that information on the cards be located and spaced according to the illustrations. The subject's name should appear approximately one-quarter inch from the top of the card and one-quarter inch in from the left-hand side. His last name, which should be in solid caps, should be listed first, then his first name, the middle name or initial. The first and middle names should be typed in initial caps. The file number should appear in the right-hand corner opposite the subject's name. Identifying information should appear on the top half of the index card. The placing of an asterisk in front of the file number on a secondary index card indicates in Illustrations "B" and "C" that John J. DOE is the subject of that file number.

9. If an individual other than the reviewer of the document is going to prepare the index card, the reviewer should use the following procedure in marking the document for indexing: The name of the individual, company, organization or other data to be indexed should be circled. The use of ink or colored pencil for the circling of a name is optional. In the lower right-hand corner of the first page of the document, the reviewer should place an "X" or an "Asterisk" stamp. He should also similarly mark the lower right-hand corner of each page of the document which contains names to be indexed. In the event that the document is already filed, the reviewer should attach a buck slip to the top of the file indicating that there is indexing to be done in

the file. He should then attach a 3" x 5" slip of paper to the right side of the first page of the document which has been marked for indexing and he should place an "X" or an asterisk on the slip of paper. This slip of paper should protrude about 2" from the side of the file in order that it will serve as a flag for the location of the names to be indexed. The individual who prepares the index cards will then remove the slip of paper and will cross through the circled names as the index cards are prepared. He will also initial the "X" or "Asterisk" stamp at the bottom of the page to indicate that index cards have been prepared on names listed for indexing on that page. In the event that an individual's name appears several times on a document, it will only be necessary to circle his name the first time it appears. A notation should be made on that page, however, that the individual's name also appears on other pages (listing page numbers) in the document. The index card will then indicate all of the pages on which information appears concerning that individual. If the reviewer of the document is going to prepare his own index cards, it will only be necessary for him to circle and cross through the indexed names and to initial the bottom of the page signifying that he has prepared the cards.

10. The question often arises as to whether a certain name or item of information should be indexed. Basically, the determination as to whether certain information should be indexed rests largely in the discretion of the professional individual reviewing the material; however, certain guide lines are set forth in assisting the individual in making his determination:

- a. Security Records Division automatically prepares all primary index cards since all files are established in the Security Records Division. When a document is sent to the Security Records Division with a request that a file be established and the subject of the document is not clearly evident, the requestor should advise SRD the name of the subject under which the file is to be set up. Since the great majority of our files are established under the proper name of an individual, this procedure should be followed wherever possible.
- b. In considering the preparation of secondary index cards, the determination should be made as to whether the information is or might be of current or future intelligence, investigative or security value. In other words, is it of sufficient importance to warrant subsequent retrieval?
- c. In the event that prior information already exists and has been indexed in our files, the determination should be made as to whether the current information adds

something new and different to that which is already indexed.

- d. Under the new uniform system for the operation of the indices, copies of index cards will not be disseminated. An index card becomes a permanent integral part of the master indices to be used only to locate information contained in some security file or record. Therefore, no information other than identifying information described above should be included on an index card.

11. It might be beneficial at this time also to draw a distinction between searching and indexing. A search of the indices is generally performed to ascertain and obtain information with regard to a particular case, or situation of current interest. If "on the head" search for subject files only is all that is desired, the search request form should so indicate. If, on the other hand, all available information is desired, a complete search of both primary and secondary index cards will be conducted. When information exists which is not only pertinent to the instant case but which also has an actual or potential future intelligence or investigative value, that information should be indexed. Selective indexing of information, as opposed to indiscriminate indexing of all information, will increase the potential of the indices to direct us to pertinent information rapidly and efficiently, thereby enabling us to obtain maximum use and benefit from our resources of security information.

12. The Security Records Division, upon request, will index any name or other data which is marked for indexing. However, the project of consolidating and unifying the indices in the Security Records Division has placed a tremendous workload on that Division. It is suggested, therefore, that wherever possible index cards be prepared in the office of the individual who reviewed the document using the uniform system as set forth above. This will be extremely helpful in enabling the Security Records Division to cope with the current workload since the complete consolidation of the indices will extend over a period of several months. Any particular problems encountered with respect to indexing material should be referred to the Security Records Division for assistance, advice or guidance.

INDEX CARD FILE SIZE AND ACTIVITY

One Week's Activity by
5 Searchers

Letter	Searches	% of Total
A	128	3.1
B	339	8.2
C	290	7.0
D	179	4.3
E	68	1.6
F	185	4.5
G	241	5.8
H	357	8.7
I	12	0.3
J	98	2.4
K	176	4.3
L	193	4.7
M	349	8.4
N	111	2.7
O	74	1.8
P	209	5.1
Q	12	0.3
R	215	5.2
S	380	9.2
T	151	3.6

Total Size of Index

% of Total	Inches	Feet or Drawers	Letter
5.1	600	50'	A
8.7	1,025	85'5"	B
7.5	891	74'3"	C
4.3	507	42'3"	D
2.0	223	18'7"	E
3.7	443	36'11"	F
5.0	597	49'9"	G
5.9	700	58'4"	H
1.0	115	9'7"	I
1.9	226	18'10"	J
5.5	649	54'3"	K
5.0	588	49'	L
9.6	1,012	84'4"	M
2.3	267	22'3"	N
1.4	163	13'7"	O
4.7	551	45'11"	P
.01	18	1'6"	Q
4.7	557	46'5"	R
10.0	1,179	98'3"	S
3.8	454	37'10"	T

<u>Letter</u>	<u>Searches</u>	<u>% of Total</u>	<u>% of Total</u>	<u>Inches</u>	<u>Feet</u>	<u>Drawers</u>	<u>Letter</u>
U	22	0.5	0.6	71	5'11"	6	U
V	98	2.4	1.5	182	15'2"	15	V
W	171	4.1	4.9	575	47'11"	50	W
X	18	0.4	00.1	2	0'2"	2	X
Y	21	0.5	0.9	108	9'	10	Y
Z	<u>20</u>	<u>0.5</u>	<u>0.8</u>	<u>98</u>	<u>8'2"</u>	<u>10</u>	Z
TOTAL	4,127	100.	100.	11,801	983'7"	1,022	TOTAL

QUESTION

"7. SERVICES OF THE INFORMATION SYSTEM."

"a. WHOM DOES IT SERVE?"

COMMENT

- I. Essentially SRD serves various offices in the Office of Security.
- II. Requests for a Security approval or disapproval originate anywhere in the Agency or government. Other Divisions in the Office of Security are responsible for the investigation and reply on clearance requests, however, the SRD files are the starting point.

"b. WHAT TYPES OF QUESTIONS ARE ASKED?"

- I. Most of the questions to SRD concern whether or not a file exists, whether the individual has a clearance, or what degree or type clearance it is. Other questions ask if there is derogatory information (DI) related to an individual and how bad or what kind is it.
- II. Enormous amounts of time are used searching for cases in process and answering questions as to the progress or details of the request and the file.

"c. WHAT IS THE AVERAGE NUMBER OF REQUESTS FOR A GIVEN PERIOD?"

- I. The foregoing attachments reflect the 30,000 cases, and 150,000 name checks, which are the official workload, including replies to inquiries. However, the IBM card index of overt cases maintained in the Processing Section duplicate the master index and has developed a substantial clientele which calls more than 20 times each day. A duplicate IBM card is also maintained in the Files Section and here too the SRD procedures have grown to depend upon it to an unknown degree. Several individuals in and out of SRD also search the index and pull files as an unofficial service.
- II. All these services contribute to the official mission of the Office of Security. However, these unofficial services remain untabulated and consume much production time.

"d. HOW URGENT ARE THE REQUESTS?"

- I. Well over 85% of the cases are labeled "urgent" and "expedite," meaning an average of about 3 days. Many take about two weeks others must be completed within hours.

"a.

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"e. HOW TIMELY ARE THE SERVICES?"

- I. The service on Provisional Operational Requests are very urgent and the question of time seriously influences DDP operations. All DDP requests have amore timely consideration that must be met than do the overt requests. DDP requests make up three-fourths of those received.
- II. Beyond a doubt, the SRD provides many services not related to keeping of the Official Security Records. It is recognized that these several services consume production time. Efforts are underway to change existing procedures and requirements.

"f. WHAT TYPES OF RESPONSES ARE GIVEN (FORM AND CONTENT)?"

- I. The response to the clearance requests is a form letter prepared by SRS, PSD, or SSD. In SRD there is no reply on information inquiries, only the assembly of the material and its forwarding. In Research and Analysis Section of SRD a summary of the files is prepared to assist SRS, PSD, and SSD analysts and to preclude the need to forward the files. Samples of some form letter replies are attached. (TAB Z)

"g. HOW IS RESEARCH AND ANALYSIS CARRIED OUT--WHAT FILES ARE USED AND HOW?"

- I. The term research and analysis refers to two activities carried out in the R&A Section of SRD.
- II. The term "research" refers to the study of newspapers, congressional hearings, agency reports, and all types of publications to locate any information on communist and other subversive activities. Individuals and organizations noted are then included in the index and a file started or added to.
- III. Several offices throughout the Office of Security submit material for indexing and filing as the size and variety of the Miscellaneous Files clearly attest.
- IV. The term "analysis" refers to the R&A Section's primary activity. The review of a clearance request and of all the files the Indices' searcher has listed on the form 745 or the 1734 and 1735. The Analyst also reviews the files pulled by the Files Clerks. The unrelated files are returned. The non-derogatory files are so indicated on the search form and the analyst writes a brief summary of his findings relative to the request. A copy of the summary is put into the subject's file and the rest sent to SRS, PSD, or SSD for recommendation of approval or disapproval of the request.

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FORMS USED
IN
ANALYSIS AND REPLY TO REQUESTS

<u>FORM NO.</u>	<u>DATED</u>	<u>TITLE</u>
(none)	(none)	Case Analysis
1173	Mar 57	Security Approval
1337	1-58	Notification of Security Action
1973	7-60	
1211	4-57	CIA Name Check
1230	3-58	Transmittal of Investigative Reports
1742	3-60	National Agency Checks
1942a	4-58	Name Check Report
864	10-59	Investigative Transmittal Sheet
(none)	(none)	Report of Investigation
646	May 55	Report of Investigation
1099	Oct 56	Interview Report
1124	Nov 56	Report to Contacts/00

25X1

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